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ABSTRACT

Between 1965 and 1973 the Rhode Island State Department of Education underwent a series of reorganizations affecting its importance and role in the state's educational change process. These reorganizations were in part responsible for and affected by the selection of Rhode Island as a site for a Teacher Center pilot project in inservice teacher education, funded for six years by a federal grant. A case study of the Rhode Island Department of Education during this period upheld models of policy development and change, and resulted in several findings: (1) visible changes in the Department supported and enhanced Teacher Center activities; (2) the Teacher Center stimulated institutional change in the department and in higher education, facilitated collaborative relationships among teachers, and altered the department's traditional regulatory role in teacher education; (3) federal funds from Title V of the Elementary and Secondary Education Act and from the Teacher Center grant had positive, long-term effects on the change process; and (4) a variety of department activities supported educational change. This report incorporates a survey of the literature and concludes with recommendations to state education agencies concerning the provision of effective leadership for educational change. An extensive bibliography is included. (Author/PGD)

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Rubrics for Assessing the State Role in Educational Change:

A Case Study of an Intervention

A Paper Presented to the American Educational Research Association

Boston, Massachusetts

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Introduction

Education is a function and responsibility of the states, leading to the expectation that state education agencies (SEAs) are in the position to provide leadership for educational improvement. This potential for leadership, however, is rarely fully realized, for SEAs or state departments of education are often depicted as unimaginative, reactive bureaucracies specializing in red tape and regulations. The discrepancy between the expectation and reality of state leadership can be traced to the historical, political, economic, and educational contexts that prescribe the operations and directions of SEAs.

A review of the literature on SEAs documents their historical development, particularly with respect to the influence of the federal government on the roles and functions of SEAs. However, at present, there is little data documenting how an SEA plays a leadership, rather than regulatory role in effecting needed changes in education.

This study was undertaken to assist SEA policy-makers, planners and administrators as they exert their legitimate leadership roles to bring about needed changes in education. Currently there is little information or evidence to chart state leadership in education. A greater awareness of how a state education agency can successfully marshal a variety of resources and forces, particularly a federal grant, to stimulate and produce institutional change has considerable value to educators and researchers concerned with maximizing the leadership potential of state education agencies, and the long-term impact of federal funds on SEAs; and with clarifying the nature of the leadership role of the state education agency.

This study focused on the role played by the Rhode Island Department

of Education from 1965-1973 in an intervention that changed the administration and delivery of in-service teacher education in the state. A sequence of events highlighted their role in the change process. In February, 1965, the Rhode Island General Assembly created the Special Commission to Study the Entire Field of Education. Over the next three years, the Commission examined every aspect of education in the state and, in June, 1969, their major recommendation--the creation of a single Board of Regents to govern all education--was enacted into law. The new Board had a profound effect on the Department of Education, for the structure outlined a new, stronger state role in education. During this same period, expanded federal support of education increased the number of Department staff and added responsibilities for monitoring federal programs. In January, 1971, Fred Burke was appointed Commissioner of Education and, in June of that year, Rhode Island was selected by the U.S. Office of Education as a Teacher Center pilot project. Over the next six years, the grant channeled \$1.2 million into a project that altered the delivery of in-service teacher education in the state.

A reorganization of the Rhode Island Department of Education was initiated in 1971 and completed in 1973. The structure that emerged represented an organization arranged according to functional units, rather than the traditional program divisions that very often resembled their federal funding base. The structure of the federally-funded Teacher Center stimulated the development of a coordinated service-delivery unit that included three major components:

1. Office of Support Services
 - Educational Information Services
 - State-wide Assessment
 - Local Planning and Assessment

2. Rhode Island Teacher Center
 - Teacher Needs Assessment
 - Alternate Learning Center
3. Program Development Unit
 - Program Development Consultants

This functional organization, in many respects a model for other state education agencies, became institutionalized in the Department structure.

The chain of events that occurred in Rhode Island from 1965 to 1973 was not the sole reason for selecting this time period as the focus of the case study. This period also corresponds with the explosion of federal support and influence on education at the state and local levels emanating from the enactment of the Elementary and Secondary Education Act of 1965. The federal grant that established the Rhode Island Teacher Center was one indicator of the strong federal presence in educational affairs that frequently called into question the states' Constitutional responsibility and authority over public education. Ironically, the states' use of ESEA Title V monies, the only direct federal funding category that is designed specifically to strengthen and aid state departments of education, has been the subject of considerable criticism. Therefore, the impact of Title V and Teacher Center funds on the Department of Education were an important consideration in examining this period.

Procedures

The primary method of inquiry was the case study. Since the state education agency is a complex organization, it is subject to a constant barrage of internal and external stimuli. Many of these variables are difficult, if not impossible, to measure or quantify. The intensive, detailed description and analysis offered by the historical case study method was aptly suited to the problem examined, for it allowed the researcher to trace and examine the multiple factors, activities and variables which constituted the dynamics of educational change in Rhode Island during this period.

Analysis

Four issues framed the analysis: the policy development process in Rhode Island; the agency's leadership role; the SEA as a change agent; and the impact of federal funds on the change process. Lawrence Iannaccone's typology of state policy-making systems was used to describe and analyze the policy-development and change process in Rhode Island from 1965 to 1973.¹ Several definitions of state education agency leadership were used to examine SEA leadership. The four change agent roles identified by Ronald Havelock were the framework for analyzing roles and activities of Rhode Island Department of Education staff and other key individuals during the period under study.² Interviews and document analyses generated data that assessed the short- and long-term impact of federal Teacher Center and Title V funds on the change process.

Summary of Findings

Major findings indicated:

- the structure and operating style of the Special Commission were consistent with the state-wide monolithic policy development model identified by Iannaccone
- visible changes in the Department such as a major reorganization, and a new staffing pattern and management style, supported and enhanced Teacher Center activities
- the Teacher Center had a multiple impact: it stimulated long-term institutional change in the Department and higher education, it facilitated a new collaborative relationship among teachers, higher education faculty, and Department staff, it altered the Department's traditional regulatory role in teacher education, and it represented a new approach to the administration and delivery of in-service teacher education
- a series of critical events and significant people identified from 1965 to 1973 corresponded with the activities and responsibilities in Havelock's four change agent roles
- federal funds from Title V and the Teacher Center, grant had a positive and long-term impact on the change process

- a variety of SEA activities supported educational change: providing technical assistance and resources; promoting collaboration among educators and interest groups; stimulating the exchange of ideas; and providing financial support

These findings suggest rubrics for planning or assessing SEA activities to orchestrate and sustain educational change efforts. The literature review that follows summarizes the major works related to this topic.

Literature Review

A review of the literature on SEAs reflects the status ascribed to SEAs in the history of American education. Several common threads are apparent. First is the subtle but overt influence of the federal government on the SEA. This influence is evident in the funding sources for various studies, monographs and treatments of the leadership role of the SEA in general, and in teacher education. Second, the scarcity of empirical studies of individual SEAs or on the impact of SEAs leads one to suspect that the role of the SEA in educational change is not a subject of serious concern to researchers, educators or policy-makers. Third, the five annual reports of the National Advisory Council on State Departments of Education are a valuable source of information about SEAs, for they paint a vivid picture of the people, programs and priorities of SEAs.³ Fourth, most of the special projects funded by ESEA Title V, federal aid to strengthen state departments of education, particularly the project reported in the series, Designing Education for the Future, produced outstanding, thought-provoking publications—truly monumental works in their optimism and promise for a stronger leadership role for SEAs.⁴ Fifth, monographs and reports by staff in the U.S. Office of Education's Division of State Agency Cooperation provide the only substantive data about SEAs until the creation of the Council of Chief State School Officers (CSSO) in 1952 and the formation of the Education Commission of the States (ECS) in 1968.

Historical studies of SEAs in the early 20th century chronicled the initial development and subsequent expansion of SEAs both in terms of personnel and responsibilities. Cubberly (1905) attributed increased state action in education to two major factors.⁵ First, local school districts, existing in virtual educational, if not geographic isolation, simply could not keep pace with the vast economic, social and technological changes occurring in American society. Second, the overall leadership needed to apply a state-wide perspective could not be provided by the existing state education agency staff who were primarily engaged in clerical, record keeping or statistical tasks. Thurston and Roe (1957) linked the expansion of SEAs to growing acceptance of the ideal of universal public education, coupled with increasing demands for improved and more equal educational opportunities that was supported by a shift from the local property tax to a state tax base.⁶ Moreover, World War I had revealed gross educational inequities among recruits. Congress responded with the enactment of the Smith-Hughes Act (1917) that represented the first major federal involvement in education through SEAs. Furthermore, local districts increasingly looked to state agencies for leadership, direction, and services rather than their traditional regulatory aspects. Beach's (1950) classic study identified three major SEA functions: leadership, regulatory, and service.⁷ Layton (1967) added operational, public support, and developmental responsibilities to the SEA roster.⁸ Roe (1967) predicted that SEAs would be less concerned with regulatory aspects of education such as teacher certification, and more active in providing leadership, support, and coordination by providing funds for local program development, disseminating resources and materials, and

convening seminars, workshops, and conferences for practitioners.⁹ His prediction accurately describes changes in SEA services and functions exemplified by the Rhode Island experience.

Treatments of the impact of SEAs in promoting educational change are a recent, if not, rare phenomenon. Campbell and Stroufe (1967) used French and Raven's analysis of the five bases of power and influence to speculate about SEA potential for effecting educational change.¹⁰ The five types of power and the corresponding SEA activities are:

1. Reward: providing money, praise and prestige to local districts
2. Coercive: threatening or criticizing schools which fail to comply with state regulations, or ultimately withholding money
3. Legitimate: exercising legal authority
4. Referrant: developing good relationships with school districts by serving as the charismatic consultant
5. Expert: exercising leadership by encouraging or convening learning exchanges, providing information and resources.

It would be interesting to survey SEAs and their clients about these five categories. The resulting matrix would be a useful gauge of changes in SEA activities.

In looking at the literature on the SEA and educational change, however, it becomes apparent that more attention has been given to documenting the deficiencies and shortcomings of SEAs with respect to educational change efforts. Layton (1967) noted several major organizational constraints on the effectiveness of SEAs: inadequate financial support; lack of agreement on how to achieve maximum impact; lack of qualified staff, and bureaucratic inertia.¹¹

Furthermore, Morphet, Jesser and Ludka (1971) outlined several critical factors in the structure of state government that limit the effectiveness and strength of an SEA:

1. lack of competent people on State Boards of Education
2. popular election of the Commissioner of Education
3. gubernatorial appointment of the Commissioner of Education
4. political pressures and influences
5. rigid budgetary procedures in state government
6. conflicting political and educational forces
7. inability to attract, retain or train top-quality staff
8. over-active State Legislatures—that enact education legislation without appropriating adequate funds for SEA staff or for local districts to implement the legislation.¹²

In their pioneering work Mort and Cornell (1938) created a typology of SEA activities and related services that promote educational change.¹³

State assumption of change is characterized by direct state administration and coordination of an innovation or program. State mandated change is accomplished by administrative fiat or legislation with little, if any, SEA assistance. Under state stimulated change, an SEA might encourage local adoption of promising practices by providing incentive funds. State cooperative change efforts are characterized by SEA technical assistance activities that support local education agency (LEAs) priorities. Under a laissez-faire system, LEAs operate without any assistance, interference, of interest from the SEA. Mort and Cornell concluded that SEAs did influence the process of educational change although roles varied.

Current literature gives SEAs little assistance or advice on ways to provide leadership. McKelvey (1954) applied Mort and Cornell's typology

to assess Ohio's leadership efforts in a state-wide school district reorganization change effort.¹⁴ He concluded that "SEA leadership" requires several components: a person to direct the enterprise, publications which provide information and resources, cross-agency planning activities, research studies, the provision of technical assistance to LEAs by SEA staff, and the development of criteria and standards. His findings provide a useful framework for SEAs embarking upon a leadership effort. Wiley (1969) approached SEA leadership from the perspective of the positive or negative influences exerted by the U.S. Office of Education, the Governor's Office, the State Legislature, and the State Teachers Association on the SEA.¹⁵ Campbell's (1957) national survey was an attempt to formulate a working definition of the leadership function of state elementary education consultants.¹⁶ Her findings expand upon McKelvey's earlier work, confirming no comprehensive, or simple, definition of SEA leadership is available, or perhaps possible. For this reason, McKelvey's leadership framework was selected for examining the Rhode Island experience.

Recent policy analyses of SEAs chisel away at the often denied political milieu that prescribe education at the federal, state, and local levels. Bailey, Frost, Marsh, and Wood (1962) argue that education should be studied as a political phenomenon.¹⁷ Later, Freedman (1971) asserted that the SEA is not really an educational agency and only incidentally a governmental agency which accounts for the diminished potential and leadership of SEAs.¹⁸ Iannaccone's (1967) typology of policy-making structures charted the dynamic inter-play of various forces in the SEA policy-making process.¹⁹ These structures are: locally-based

disparate, characterized by a strong relationship between local districts and the State Legislature; state-wide monolithic, reflected in unanimity among state-wide educational interest groups and professional associations; state-wide fragmented, characterized by divergent and fragmented state associations and interest groups; and, state-wide syndical, manifest in a state-wide organization under governmental sponsorship. His work not only synthesizes many of the previous assertions about the role of SEAs in the policy-making process but it provides a clear formula for plotting or examining policy-development

The early outpouring of federal dollars to SEAs under the Smith-Hughes Act of 1917 grew steadily so that by 1968, 41% of all SEA expenditures, including salaries were federally supported. Georgiady (1966) and Layton (1968), among others, cautioned SEAs about the double-edged sword of dependence and influence of federal aid.^{20,21} Later, Wiley (1969) reminded SEAs that expending federal dollars also meant expending time and energy to monitor federal programs regardless of whether they fit state program priorities.²² Murphy's (1973) study of the initial impact of Title V monies on SEAs was highly critical of their planning capability despite the fact that planning monies were unavailable until 1970.²³ His one-dimensional treatment is a sharp contrast to other analyses of the complex issues related to the administration of Title V and other federal monies in SEAs. (Colton et. al, Goldhammer et al, Wiley, Usdan). Milstein (1973) found that SEAs inadequate planning resulted from several problems, including late passage and altered funding levels of federal programs coupled with SEA deficiencies in needs assessment, goal setting, and long-range planning.²⁴ Later, he noted that the impact of federal funds on SEAs and LEAs is highly dependent on the administration of these funds. Milstein's work is a substantial contribution to understanding the complex issues surrounding the overall positive impact of federal funds on SEAs.

This abbreviated review of the literature pertinent to this topic has served to frame the presentation of the analysis and findings of the Rhode Island study. The next section capsulizes events in Rhode Island and is followed by the findings from the Rhode Island case study. The final section offers researchers, policy makers and SEA administrators rubrics for assessing and planning change.

Education in Rhode Island 1965-1973

The changes which occurred in Rhode Island had several curious but complementary roots. The School Finance Reform Law enacted in 1960, had promised to remedy escalating school costs, yet four years later costs had doubled. Consolidation of the states' 40 school districts, side-stepped in 1960, became a major element in legislative discussions about reducing school costs. This measure would have greatly diminished local control and was strongly contested by local school boards. Rather than support this drastic step, educational interest groups supported a bill creating a special commission to study the entire field of education, thereby assuring its passage. The 17 member, gubernatorially appointed commission was empowered in June, 1965, less than four months after the enactment of the law. Commission members were selected by various Constitutional officers and were to include five state representatives, four state senators, at least three teachers, one judge, and four lay members.

No aspect of education in Rhode Island was beyond the Commission's scrutiny, for the end result of their three year effort was to be a complete revision of the structure, operating procedures, and goals of the state educational system. With its ample state appropriation, the Commission began its task by establishing both citizen and professional

advisory panels for the six major study areas:

- future economic trends and related state educational goals;
- state and local educational personnel policies and practices;
- educational services and student achievement;
- financing public education;
- the organization and administration of education in the state;
- research and development.

Eleven reports documented the critical education needs in the state. Subsequent public meetings and conferences sought further response and recommendations from Rhode Island citizens and professionals. The Commission's final report, Education in Rhode Island: A Plan for the Future, published in June, 1968, contains 269 recommendations.

The Commission's work became embodied in one single recommendation, the creation of a single Board of Regents which would oversee elementary, secondary, and higher education through the operational arm of a totally new Department of Education. The Commission had noted that the Department of Education, like its counterparts across the country, suffered several chronic ailments: reliance on federal funds; a funding and operational structure that resembled federal funding sources; a strong regulatory, and weak service-delivery orientation; prohibitive salary structures; job descriptions and responsibilities based on subject areas; and high staff turnover. The Department's weak status assured that school districts and interest groups maintained autonomy and influence over education in the state. Moreover, the low level of state financial support prohibited the Department from engaging in program planning and development

activities and virtually restricted the state role to regulatory functions, and was perceived by teachers as such. The Commission proposed 28 recommendations for a new Department of Education that featured an organizational and operational structure arranged according to functional responsibilities and services, not federal or state program categories.

The Commission's study of educational personnel focused on the Rhode Island teaching force. The structures and delivery of in-service teacher education was a particularly problematic area. Teachers demanded more involvement in planning in-service offerings, yet college faculty were unwilling to depart from the traditional mode of campus-based in-service courses. Moreover, the types of in-service programs available did not match massive changes in education in the late sixties. Programs and courses were disparate, short-term, over-lapping or fragmentary in focus, scope, or substance.

Teachers and the two state teachers associations were heavily involved in this aspect of the Commission's work. The recent enactment of a collective bargaining act had given teachers a new sense of self-esteem that stimulated fruitful discussions about professional development activities. Overall, the Commission filed 35 recommendations for improving educational personnel in the state, calling upon the proposed Board of Regents to take a pro-active, leadership role.

The Commission's report became embodied in the Rhode Island Education Act of 1969, enacted in that same year. Two interim agencies—one for higher education and one for the Department of Education, were created to maintain essential services while the new state educational structure took shape. The new Board of Regents was appointed in September, 1969.

In 1971 Dr. Fred G. Burke became the Commissioner of Education who would oversee the new Department. A series of task forces and problem-solving groups framed Burke's initial task of re-structuring the Department. In May, 1971 the structure of the new Department, arranged according to functional, divisions, was announced. A master planning process, a program planning and budgeting system, and a management information system soon followed. New staff responsibilities, patterned after program development and consultative activities, heralded radically different state agency services for school practitioners.

In June of 1971, Burke was notified that Rhode Island had been selected as one of four Teacher Center pilot projects, funded by USOE. Over the next six years the Department received \$1.2 million in a pilot program that gave the state broad program and fiscal flexibility. In 1973, the original nine-member Board of Regents was replaced by a fifteen member Board. The expanded Board was necessitated by tensions between Burke and the higher education administrators. The new Board, and the legislation that authorized it, clarified ambiguity among all parties and gave the Commissioner clearer jurisdiction over higher education in the state.

Findings

Policy development in Rhode Island during two change phases, 1965-1968 and 1968-1973, was examined using the Iannaccone model. The policy initiative that started in 1965 with the Special Commission's work followed the state-wide monolithic model, evidenced by the following pattern of activities, interactions and structures:

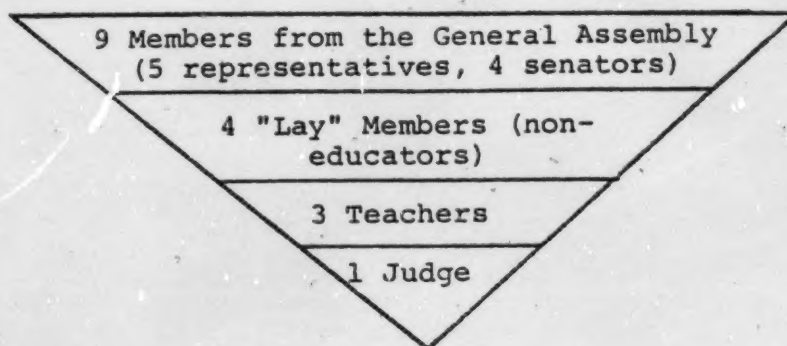
- a high degree of consensus among educational interest groups;

- semblance of a 'united front' of interest groups when approaching the state legislature;
- distinctive records of initiating legislation;
- avoidance of open conflict among groups;
- significant lobby power to prevent or to initiate legislation;
- accommodation of interests occurring outside the legislature but inside the monolith.

Iannaccone noted that the structure of this model "is a pyramid whose apex appears where the associational system of schoolmen and their friends are customarily linked to the legislature."²⁵ The structure of the Commission reveals an inverted pyramid that continued the legislature's power balance but incorporated a dynamic interplay with the broad-based mass of educational interest groups. Table 1 illustrates the structure and composition of the Special Commission.

TABLE 1

Structure and Composition of the Special Commission



Commission members were selected on the basis of interest groups, not geographic regions. This assured that discussions and deliberations focused on state-wide interests.

The Commission's activities and procedures reveal the open, participatory, consensus-building approach to policy-development inherent in the state-wide monolithic model. Numerous open meetings and conferences, plus the various citizen and professional advisory groups accommodated and involved a full range of educational interest groups in the state. In many respects the Commission's operating style virtually assured enactment of their legislative package in 1969.

The new single Board of Regents created in 1969 sought to continue the state-wide monolithic policy-development model but it failed. The selection process was too general, and citizen, rather than interest-group based. Thus, educational groups were not institutionalized into the structure of the Board. There was little semblance of a "united front" among educators, resulting in conflict among members and with Commissioner Burke.

The second Board, constituted in 1973, more accurately reflected Iannaccone's model and, therefore, was assured of greater success. The structure of the expanded, fifteen-member Board incorporated the three major interest groups in the state: elementary and secondary education, post-secondary, and special populations. This structure, augmented by various sub-committees, enhanced the coalitional direction of the policy-development process. Thus, Iannaccone's state-wide monolithic model remained intact and laid a firm foundation for the growth of the new Department of Education.

"Leadership" is an elusive concept, one that can only be properly defined by concrete activities and events. The analysis of leadership efforts in the Rhode Island Department of Education drew upon several

approaches to "leadership", notably those by Friedman, Wiley, Thurston and Roe, and McKelvey. A composite definition of "leadership" was developed as a useful rubric. Overall, data from personal interviews, documents, publications and other sources documented SEA leadership in effecting change in in-service teacher education. Friedman's orientation toward leadership through the facilitation of change by direct service-delivery was amply fulfilled by the Rhode Island Teacher Center. 26

Indicators included:

1. the collaborative framework of the Teacher Center with the state education agency, teachers associations, and institutions of higher education;
2. the Center's participatory operating style manifest in the determination of program components through a needs assessment process;
3. the early determination of the Center as a "process", not a place; and
4. the development of the Bureau of Technical Assistance and the program development consultant as the agency's service-advocacy-leadership-operational component.

Thus, the SEA role focused on convening the parties associated with in-service, encouraging them to more adequately respond to each other's needs and interests, facilitating interaction among the groups; and maintaining the financial resources to continue the Center's operation.

Wiley's cautions about the negative influences on SEA leadership by the U.S. Office of Education, the Governor's Office, the State Legislature, and the state teachers associations did not apply to the Rhode Island Department of Education from 1965-1972. The U. S. Office of Education funded the Teacher Center but exerted little pressure and loose monitoring. Pre-conditions on the grant actually influenced the development of the Bureau of Technical Assistance in a positive manner that

supported Burke's reorganization of the Department. Thus, unlike other efforts this federal-state partnership was mutually-enriching. By its enactment of the Special Commission and its major recommendations, the General Assembly also supported, rather than undermined SEA leadership efforts. The Rhode Island experience contradicts Wiley's expectations, for the Governor's Office played a minor role during the period under study and did not obstruct or undermine agency leadership. The states' teacher associations were pleased with the Commission's work and the direction of the new Department. The new service-delivery orientation of the Department and the Teacher Center embodied many of the needs articulated by teachers so there was little conflict, and considerable support for SEA activities.

Thurston and Roe's description of the multiple components of SEA leadership provided a useful framework for reviewing activities of the Rhode Island Department of Education.

...Here (leadership) lies the breath and life of the state education's office. With the philosophy of creative leadership instilled in its members, the state office can fan into life within the state a growing, dynamic, and inspired force.... Leadership can mobilize, unify, and coordinate all the positive forces concerned with education for the dedicated purpose of its improvement. It can give common direction to the efforts of all. It can analyze the nature and future direction of education and communicate with the public in this regard. It can foster local initiative by discovering and publicizing improved practices and encourage others to follow suit. It can utilize all possible resources for experimentation and improvement. It can provide opportunities and stimulate all persons engaged in educational work to grow and create professionally. ²⁷

Rhode Island activities matched twelve descriptions of "leadership" derived from their work. (See Table 2).

TABLE 2

Evidence of Thurston and Roe Leadership Components in
Rhode Island Department of Education, 1965-73

Leadership Decriptors

Mobilization of forces
Unification of forces
Coordination of forces
Inspiration, charisma
Outreach to the public
Problem-solving approach to service

Providing common directions

Fostering support for local initiatives

Discovering and publicizing improved
practices
Dissemination of improved practices

Using diverse resources for experi-
mentation and improvement
Providing opportunities for pro-
fessional growth and stimulation

Leadership Indicators

Thibeault Commission/Teacher Center
Education Act of 1969/Second Board of Regents
Department Reorganizations
Commissioner Burke
Program Development Consultants,
Bureau of Technical Assistance,
Department Reorganization, 1972
Commissioner Burke, Rhode Island Technical
Assistance, Department Reorganization
Program Development Clnsultants, Technical
Assistance unit; Rhode Island Technical
Assistance/Alternate Learning Center
Rhode Island Technical Assistance/Alternate
Learning Center, Dissemination Unit
Rhode Island Technical Assistance/Alternate
Learning Center, Dissemination Unit
Department Reorganizations, Use of Federal
grants; Program Development
Rhode Island Teacher Center/ Alternate
Learning Center

A final refinement of the elusive concept of SEA leadership is evident in the conclusions from McKelvey's study of SEA efforts in encouraging school district reorganization. He identified six characteristics of SEA leadership:

- The existence of a state director whose specific duties and responsibilities were to encourage and promote school district reorganization.
- The development and distribution of a series of publications, manuals, and resources on the issue.
- Indications of cross-agency planning around the issues related to school district reorganization.
- The preparation or commissioning of research studies and reports for school district personnel, administrators, and policy makers.
- The provision of technical assistance to school district personnel through the state Director's office.
- The development of criteria and standards governing school district reorganization to assist local school district personnel.

Application of these characteristics to Rhode Island Department of Education activities related to change in in-service teacher education confirmed the agency's leadership role (see Table 3).

TABLE 3

Application of McKelvey's SEA Leadership Components to Changes in
In-Service Education in Rhode Island, 1971-1973

Leadership Elements	Evidence
Existence of a state In-Service Director	Kenneth Mellor, Director of the Rhode Island Teacher Center
Development and distribution of resources and materials	Printed materials developed; four awareness conferences held, 1,332 participants in Center activities, information services available, state and national program materials available during 1971-1973
Cross-agency planning	Teacher Center was institutionalized into Department of Education in 1972; Center continues as state-financed operation through a line item in state budget plus pooling of cross-agency in-service monies; Center integrated into agency through Bureau of Technical Assistance: collaborative model used in state's Teacher Center proposal to the U.S. Office of Education.
Research studies	Evaluation Research Center data documents seven areas; no research available on in-service education in Rhode Island other than Special Commission's two-volume study.
Provision of technical assistance	Teacher Center operations, the Bureau of Technical Assistance, and the role of the program development consultant all confirm existence of this element; Evaluation Research Center data indicates positive response to technical assistance component of Teacher Center (78% of Rhode Island superintendents, 36% Rhode Island administrators, 37% Rhode Island teachers had used technical assistance component 1971-1973).*
24 Development of state standards and criteria for in-service	The Teacher Center model has been adopted by other Department units.

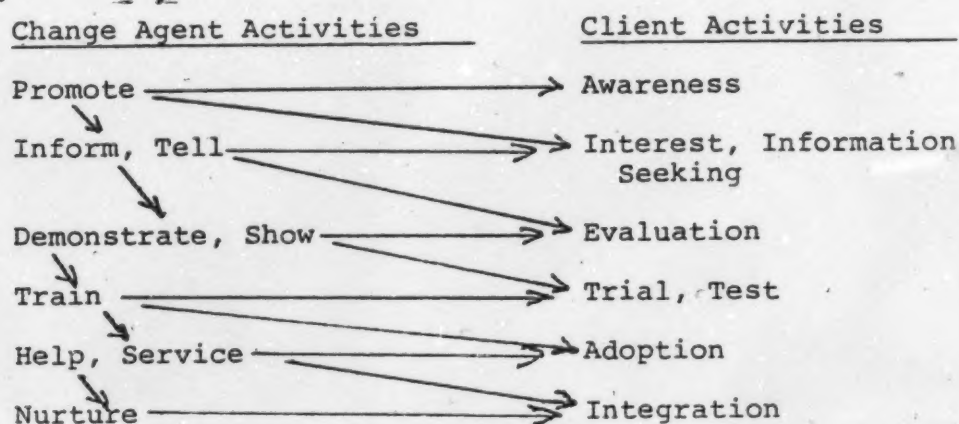
*Evaluation Research Center, Evaluating the Teacher Center Pilots, p. 19.

Findings from examinations of leadership in the Rhode Island Department of Education suggested a working definition of SEA leadership:

A state education agency that wishes to embark upon a leadership effort should assign a person to direct the enterprise, develop a series of publications and resources for schools and practitioners, engage in cross-agency planning, provide technical assistance to school district personnel, develop criteria and standards for local and state education agency staff, and mediate, maximize or neutralize pressures from the governor's office, the state legislature, the U.S. Office of Education, and the state teachers' association.

Evidence summarized in this analysis not only confirmed the leadership role played by the Rhode Island Department of Education, but also highlighted a critical component of SEA change efforts.

The third major method of analysis was the examination of the Rhode Island Department of Education as a change agent from 1965-1973. Ronald and Mary Havelock's work on change agent roles and activities was used to examine various change-oriented activities. Findings documented a high correlation between Department activities and change agent roles rooted in the Havelocks' Rational Problem-Solving model of educational change. The model presents the following sequence of supportive activities employed by the change agent in conjunction with the client in the school system: 28



The Havelocks noted that four generic types of change agent roles were needed to initiate, support, and complete change efforts. These are: the catalyst who "gets things started"; the process helper who assists the client progress through the six-stage Rational Problem Solving model by helping him/her define needs, diagnose problems, set objectives, acquire resources, select or create solutions, adapt or install solutions, and evaluate the solutions; the solution-giver who simply provides answers or solutions; and the resource linker who establishes a long-term relationship with the client and provides a support system of resources. 29 Evidence in Tables 4 and 5 documented the existence of the four Havelock change agent roles in the activities, events, and people identified in both phases of change. The new program development consultant, the primary staff role in the reorganized Department's Bureau of Technical Assistance not only embodied Havelocks' process helper and resource linker roles, but, in effect, institutionalized the corresponding role in the Teacher Center.

TABLE 4

Critical Events, Significant Persons, and Related Events in
the Rhode Island Change Process, 1965-1968

Change Agent Role	Critical Event	Significant Persons	Related Event
Catalyst	Rhode Island Special Commission	General Assembly Governor	Michaelson Act School Finance Fiasco
Process Helper	_____	General Assembly Chairman, Thibault	Title V Funds
Solution Giver	Rhode Island Educators, Lay Public	Henry Brickell Consultants	Title V Funds
Resource Linker	_____	Consultants	Title V Funds

TABLE 5

**Critical Events, Significant Persons, and Related Events in
the Rhode Island Change Process, 1969-1973**

<u>Change Agent Role</u>	<u>Critical Event</u>	<u>Significant Person(s)</u>	<u>Related Event</u>
Catalyst	Enactment of Education Act of 1969	Chairman Thibeault	_____
	Funding of Rhode Island Teacher Center	Office of Education	Revision of Teacher Certification
	Creation of a new Department of Education	Fred Burke	Education Act of 1969
	Reorganization of Rhode Island Department of Education	Nelson Ashline	Creation of Bureau of Technical Assistance*
Process Helper	Development of Program Development Consultant	Nelson Ashline	Expiration of National Defense Education Act, subject matter specialist; Title V Funds
Solution Giver	_____	Commissioner Burke	_____
Resource Linker	Rhode Island Teacher Center/Information Center, Alternate Learning Center	Kenneth Mellor Alan Sinclair Program Development Consultants	Rhode Island Federation of Teachers becomes bargaining agent for Rhode Island College; Title V Funds

*The creation of the Bureau of Technical Assistance was also an outcome because it represented the institutionalization of the change.

Conflicting opinions about the impact of federal funds on SEAs may be explained, in part, by a lack of understanding or agreement about the purpose behind federal grants to SEAs. Federal dollars have created a challenge to SEAs and some states are simply more able or sophisticated in using federal monies to complement or further state goals neglected because of state budgetary constraints. Federal funds had a substantial impact on change in Rhode-Island; in fact, the Teacher Center was completely dependent on federal monies. However, these monies were used for development rather than maintenance purposes, and were one investment in a long-term institutional change agenda. In a less dramatic way, Title V monies also supported change efforts. Table 6 synthesizes literature on the positive and negative factors associated with the flow of federal funds to SEAs.

Title V monies to Rhode Island totalled \$1.9 million from 1966-1973. Table 7 depicts the allocation of Title V monies during this period and the number of staff positions supported by these funds. A closer look at the positions and functions created in the Rhode Island Department of Education with Title V monies revealed a picture of positive and developmental, rather than expedient, use of these funds. Several of the first program development consultants were funded with Title V monies, as were positions establishing the Department's new Research, Planning, and Assessment unit. These positions were gradually shifted to state funds. Thus, Title V monies in Rhode Island were used to supplement, not supplant state monies or responsibilities.

The long-term impact of federal funds on educational change efforts in SEAs is more easily discernible in the Rhode Island Teacher Center.

TABLE 6

Positive and Negative Factors Associated with
the Flow of Federal Funds to SEAs

Positive Factors	Negative Factors
dramatically increased SEA staff	SEAs became funnel for federal dollars and priorities
stimulated program de- velopment	resulted in emphasis on regulatory role of SEA staff
increased staff and agency capability	stifled state program development
provided opportunities for experimentation and innovation	reinforced traditional patterns of behavior and attitudes in SEAs
stimulated planning and coordination in SEAs	complicated, overlapped, or con- tradicted state priorities
financed new state efforts during periods of state financial recession	created dependence on federal dollars and subsidies for staff salaries

TABLE 7

Title V Grants to Rhode Island, and Staff
Supported by Title V, 1966-1973

Fiscal Year	Total Grant	Number of Staff
1966	\$ 117,584	6
1967	135,128	9
1968	207,193	29
1969	245,188	25
1970	276,760	24
1971	285,453	24
1972	313,800	30
1973	316,497	35

Responses to the question, "Would changes in in-service teacher education have occurred without the Center?", were negative. Similarly, responses to the question, "What impact did the Center have on the reorganization of the Department?", all revealed the integration of Teacher Center activities into the Bureau of Technical Assistance. Moreover, application of data in Table 6 to the Rhode Island Teacher Center revealed that five of the six positive factors, and none of the negative factors were present in the Center. Rhode Island did not become a funnel for federal priorities and dollars, rather the Center became the vehicle for a complete overhaul of Department staff roles, responsibilities. Beneath the analysis of the impact of federal funds lies an important, if not crucial factor in the success of the Teacher Center. The Department was ready for change and the grant enabled the agency to move ahead rapidly in a variety of directions that ultimately came together in the new Bureau of Technical Assistance. While the Office of Education provided the funds, Rhode Island provided the vision, structure, and commitment--ingredients that assured the permanence of the spirit and direction of the Center long after the federal funds disappeared.

Rubrics for Change

These rubrics were not only rites of passage for Rhode Island but are also intended to plot the course for change in other states.

Rubric #1 : Let the state's model of policy development drive
the process!

State education agencies are well-advised to determine which of Iannaccone's four models most accurately fits their state and to plan and implement policy development

strategies accordingly. Respecting the powers-that-be does not necessarily mean that the power source must dictate policy development. Rather, when all pieces of the state's policy development machine are operating properly, "power", the ability to accomplish, becomes a dynamic interplay among forces. No one in the public sector should suggest manipulating the components of the power formula but orchestrating the necessary conditions and ingredients certainly makes good sense.

Rubric #2: Diversify Your Leadership Portfolio!

The elusive and multi-dimensional quality of SEA leadership is well-documented in the literature and in Rhode Island. A strong leadership personality is helpful, but insufficient unto itself. The needs of the leaders' clientele, both within and outside the agency, must be accommodated in a timely and useful fashion. A complete "leadership" campaign must contain many elements and strategies to successfully implement and sustain change. A sampling of these include: human, material and financial resources, process components such as needs assessment and planning, public relations, and technical assistance activities. Moreover, special maneuvers and strategies may be needed to side-step the potentially hazardous negative forces effecting agency leadership.

Rubric #3: Coordinate Your Change Strategy!

There are no magic wands in SEAs! Coordinated approaches to elicit change in local schools must be followed.

The Havelocks' models and roles for change provide ways of accommodating the needs of the client progressing through various stages of the change process. Viewing change as a series of coordinated activities, helps the agency plan and provide new services, roles, and responsibilities that enhance change efforts. Thus, changes in the client system must be matched by changes in the agency itself. Change must have a firm foundation to take root and flourish in an initially alien environment.

Rubric #4: Maintain a Proper Perspective about Federal Funds!

There are enough cautions about the potentially entangling alliances associated with federal funds to give any SEA administrator cause for concern. But, properly engineered and managed, federal grants can be a means to an end, not merely a temporary bandaid to soothe financial ailments. A federal grant may be a "gift-horse" that merits rejection. Mapping out a long-term strategy for matching federal grant priorities with those of the agency, will show whether the grant is really worth pursuing.

Rubric #5: Respect the Political, That Is, Temporary Nature of Change!

Politics keeps governmental agencies in business. State agency administrators should be resigned to the fact that change is temporary and cyclical, particularly in agencies so strongly influenced by constant and

conflicting stimuli. Longevity is not necessarily a critical indicator of success for even the most carefully planned and executed change efforts. Newsprint, and these rubrics, should always be close-at-hand to start the process again.

ENDNOTES

¹ Professor Iannaccone identified four policy-making systems operating in states. These models are discussed in the literature review, but are outlined here. The four types are termed: locally-based disparate, state-wide monolithic, state-wide syndical, and state-wide fragmented, Politics in Education (New York: Center for Applied Research in Education, 1967).

² Ronald Havelock noted four roles which are critical to the success of educational change efforts. These roles are: catalyst, process-helper, resource-linker, and solution-giver. A Change Agent's Guide to Innovation in Education (Englewood Cliffs, New Jersey: Educational Technology Publications, 1973).

³ The titles of the five annual reports of the Advisory Council on State Departments of Education could be interpreted as an interesting indication of the United States Office of Education's agenda for Title V monies: Improving State Leadership in Education, First Annual Report, March, 1966; Reinforcing the Role of States in Education, Second Annual Report, March, 1967; Focus on the Future: Education in the States, Third Annual Report, March, 1968; The State of State Departments of Education, Fourth Annual Report, March 1969; and The Federal-State Partnership in Education, Fifth Annual Report, March, 1970.

⁴ Edgar L. Morphet and David L. Jessor, eds., Designing Education for the Future, vol. 1: Prospective Changes in Society by 1980; vol. 2: Implications for Education of Prospective Changes in Society; vol. 3: Planning and Effecting Needed Changes in Education; vol. 4: Designing Education for the Future—the Educational Program; vol. 5: Cooperative Planning for Education in 1980; vol. 6: Emerging Designs for Education; vol. 7: Planning for Effective Utilization of Technology in Education; vol. 8: Preparing Educators to Meet Emerging Needs; vol. 9: Designing Education for the Future: Rationale, Procedures and Appraisal; 9 vols. (New York: Citation Press, 1966-69).

⁵ R. L. John, "State Financing of Elementary and Secondary Education," in Education in the States, Vol. 2, Nationwide Development Since 1900 (Washington, D. C.: National Education Association and Council of Chief State School Officers), pp. 183-216.

⁶ Thurston and Roe, State School Administration, (New York: Harper and Brothers, 1957).

⁷ Fred F. Beach, The Functions of State Departments of Education (United States Office of Education, Miscellaneous No. 12. Washington, D.C.: United States Government Printing Office, 1950).

⁸ Donald H. Layton, "Historical Development and Current Status of State Departments of Education," in Campbell et al., Strengthening State Departments of Education, pp. 5-18. (Chicago: Midwest Administration Center, 1967).

- ⁹ William L. Roe, "The State Education Agency of the Future", in Planning and Effecting Needed Changes in Education, eds., Edgar L. Morphet and Charles O. Ryan (Denver: Publishers Press, 1967), p. 254.
- ¹⁰ Roald F. Campbell et. al., Strengthening State Departments of Education, p. 58.
- ¹¹ Donald H. Layton, Historical Development and Current Status of State Departments of Education, p. 15-17.
- ¹² Edgar L. Morphet, David L. Jesser, and Arthur P. Lucka, Planning and Providing for Excellence in Education (Denver: Education Commission of the States, 1970), p. 141.
- ¹³ Paul A. Mort and Francis G. Cornell, Adaptability of Public School Systems (New York: Teachers College Press, 1938).
- ¹⁴ Frederick H. McKelvey, "An Analysis of Responsibility on the State Level for the Reorganization of School Districts with Special Reference to Ohio" (Ph.D. dissertation, Harvard Graduate School of Education, 1954).
- ¹⁵ Thomas Wiley, "State Politics of Education: Policy Formulation--Past, Present, and Future". Paper presented at the annual meeting of the American Educational Research Association, 1969.
- ¹⁶ S. Elizabeth Campbell, "The Delegation of Function to the Elementary School Consultant in State Departments of Education" (Ph.D. dissertation, Harvard Graduate School of Education, 1957).
- ¹⁷ Stephen K. Bailey et al., Schoolmen and Politics: A Study of State Aid to Education in the Northeast (Syracuse: Syracuse University Press, 1962).
- ¹⁸ Burton D. Friedman, State Government and Education Management in the State Education Agency (Chicago: Public Administration Service, 1971).
- ¹⁹ Lawrence Iannaccone, Politics in Education.
- ²⁰ Nicholas P. Georgiady, "The State Department of Education and Federal Funding," Educational Leadership 25 (October 1966): 25-27.
- ²¹ Roald F. Campbell and Donald F. Layton, "Thrust and Counterthrust in Education Policy-Making," Phi Delta Kappan 49 (February 1968): 290-294.
- ²² Thomas Wiley, "State Politics of Education."
- ²³ Jerome T. Murphy, State Educational Agencies and Discretionary Funds, Grease the Squeaky Wheel (Lexington, Massachusetts: D. C. Heath Co., 1973).
- ²⁴ Mike M. Milstein, "State Education Agency Planning: Impact of Federally Funded Programs." Paper presented at the annual meeting of the American Educational Research Association, 1973.

- 25 Lawrence Iannaccone, Politics in Education, p. 48.
- 26 Burton D. Friedman, State Government and Education Management in the State Education Agency.
- 27 Thurston and Roe, State School Administration, p. 82.
- 28 Havelock, The Change Agent's Guide to Innovation in Education, p. 115.
- 29 Ronald G. and Mary C. Havelock, Training for Change Agents
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